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To: Tanya Truong	USPTO	571-273-3858	

From: Babak Ayazifar

Comments:

1st Action - 1449 -- missing

Docket No.: UON-P01-004

Application No.: 09/756,814

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Date: November 29, 2004

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Via: First Class Mail	
Inventor: Kevin M. Short	Atty Dkt No.: UON-P01-004
Application No.: 09/756814	Filing Date: January 9, 2001
Title: METHOD AND APPARATUS FOR THE COMPRESSION AND DECOMPRESSION OF IMAGE FILES USING CHAOTIC SYSTEM	

Documents Filed:

IDS (Citation) by Applicant (3 pages)

Information Disclosure Statement (2 pages)

Transmittal (1 page)

Copies of references AA-AC1 and CA-CA

Ropes & Gray

APR 01 2004

Intellectual Property Dept.



Sender's Initials: JVB/BA/th	Date: March 24, 2004
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Via: First Class Mail	Atty Dkt No.: UON-P01-004
Inventor: Kevin M. Short	
Application No.: 09/756814	Filing Date: January 9, 2001
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Sender's Initials: JVB/BA/th	Date: March 24, 2004
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PTO/SB/92 (08-03)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Application No. (if known): 09/756814

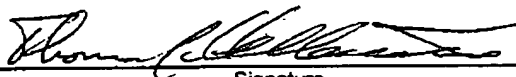
Attorney Docket No.: UON-P01-004

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PTO/SB/21 (08-03)

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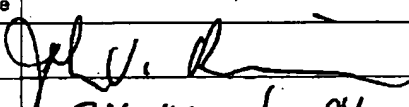
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<h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p>		Application Number	09/756814
		Filing Date	January 9, 2001
		First Named Inventor	Kevin M. Short
		Art Unit	N/A
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission	5	Attorney Docket Number	UON-P01-004

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): IDS (Citation) by Applicant Copies of references AA-AC1 and CA-CX
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	ROPES & GRAY LLP John V. Bianco - 36,748
Signature	
Date	24 March 04

Docket No.: UON-P01-004
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Kevin M. Short

Application No.: 09/756814

Confirmation No.: 6158

Filed: January 9, 2001

Art Unit: N/A

For: METHOD AND APPARATUS FOR THE
COMPRESSION AND DECOMPRESSION
OF IMAGE FILES USING CHAOTIC
SYSTEM

Examiner: Not Yet Assigned

INFORMATION DISCLOSURE STATEMENT (IDS)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO/SB/08. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is filed before the mailing date of a first Office Action on the merits as far as is known to the undersigned (37 CFR 1.97(b)(3)).

A copy of each reference on the PTO/SB/08 is attached.

In accordance with 37 CFR 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists. In accordance with 37 CFR 1.97(h), the filing of this Information Disclosure statement shall not be construed to be an admission that any patent,

Application No.: 09/756814

Docket No.: UON-P01-004

publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

It is submitted that the Information Disclosure Statement is in compliance with 37 CFR 1.98 and the Examiner is respectfully requested to consider the listed references.

The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 18-1945, under Order No. UON-P01-004. A duplicate copy of this paper is enclosed.

Dated: 24 March 04

Respectfully submitted,

By 
John V. Bianco

Registration No.: 36,748
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PTO/SB/08a/b (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1448A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete If Known	
				Application Number	09/756814
				Filing Date	January 9, 2001
				First Named Inventor	Kevin M. Short
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	3	Attorney Docket Number	UON-P01-004

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)			
	AA	US-5040217-B1	08-13-1991	Brandenburg et al.	
	AB	US-5048086-B1	09-10-1991	Blanco	
	AC	US-5245660-B1	08-14-1993	Pecora et al.	
	AD	US-5291555-B1	03-01-1994	Cuomo et al.	
	AE	US-5365589-B1	11-15-1994	Gutowitz	
	AF	US-5416848-B1	05-16-1995	Young	
	AG	US-5432697-B1	07-11-1995	Hayes	
	AH	US-5473694-B1	12-05-1995	Carroll et al.	
	AI	US-5479512-B1	12-26-1995	Weiss	
	AJ	US-5508473-B1	04-16-1996	Chafe	
	AK	US-5592555-B1	01-07-1997	Stewart	
	AL	US-5606144-B1	02-25-1997	Dabby	
	AM	US-5680462-B1	10-21-1997	Miller	
	AN	US-5729607-B1	03-17-1998	DeFries et al.	
	AO	US-5732158-B1	03-24-1998	Jaenisch	
	AP	US-5737360-B1	04-07-1998	Grinstein et al.	
	AQ	US-5768437-B1	06-16-1998	Monro et al.	
	AR	US-5808225-B1	09-15-1998	Corwin et al.	
	AS	US-5818712-B1	10-06-1998	Glenn	
	AT	US-5838832-B1	11-17-1998	Barnsley	
	AU	US-5857025-B1	01-05-1999	Anderson	
	AV	US-5857165-B1	01-05-1999	Coron et al.	
	AW	US-5923760-B1	07-13-1999	Abarbanel et al.	
	AX	US-6137045-B1	10-24-2000	Short et al.	
	AY	US-6208951-B1	03-27-2001	Kumar et al.	
	AZ	US-6212239-B1	04-03-2001	Hayes	
	AA1	US-6275615-B1	08-14-2001	Ida et al.	
	AB1	US-6363153-B1	03-26-2002	Parker et al.	
	AC1	US-6631166-B1	10-07-2003	Carroll	

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ -Number ⁴ -Kind Code ⁵ (If known)			

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Examiner Signature		Date Considered	
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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known	
		Application Number	09/756814
		Filing Date	January 9, 2001
		First Named Inventor	Kevin M. Short
		Art Unit	N/A
		Examiner Name	Not Yet Assigned
Sheet	2	of	3
		Attorney Docket Number	UON-P01-004

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	CA	Carroll et. al., "Synchronizing Chaotic Systems", SPIE Chaos in Communications 32-43, 1993.*	
	CB	Carroll, Thomas L., "Communicating with Use of Filtered, Synchronized Chaotic Signals", IEEE Transactions on Circuits and Systems I: Fundamental Theory and Applications, Vol. 42, No. 3, pp. 105-110, March 1995.	
	CC	Cuomo et. al., "Synchronization of Lorenz-Based Chaotic Circuits with Applications to Communications", IEEE Transactions on Circuits and Systems, 626-633, 1993.	
	CD	Dachsel, F., "Chaotic Coding and Cryptanalysis", IEEE International Symposium on Circuits and Systems, June 9-12, 1997, Hong Kong, pp. 1061-1064.	
	CE	Ding, M. et al., "Enhancing Synchronism of Chaotic Systems," Physical Review E, Vol. 49, No. 2, pp. R945-948, Feb. 1994.	
	CF	Final office action issued by Examiner James Seal on 21 December 2000, in the prosecution of U.S. Patent Application Serial No. 09/436,910, now issued as U.S. Patent Number 6,363,153 (Method and apparatus for secure digital chaotic communication).	
	CG	Hayes, S., Grebogi, C., and Ott, E., "Communicating with Chaos", Phys. Rev. Lett., Vol. 70, No. 20, pp. 3031-3034, 17 May 1993.	
	CH	Hayes, S., Grebogi, C., and Ott, E., "Experimental Control of Chaos for Communication", Phys. Rev. Lett., Vol. 73, No. 13, pp. 1781-1786, 26 Sep. 1994.	
	CI	Hunt, E. R., "Stabilizing High-Period Orbits in a Chaotic System: The Diode Resonator", Physical Review Letters, Vol. 67, No. 15, pp. 1953-1957, 7 October 1991.	
	CJ	Kavitha, V. et al., "Use of Chaotic Modeling for Transmission of EEG Data", International Conference on Information, Communications, and Signal Processing, ICICS '97, Singapore, 9-12 September 1997, pp. 1262-1265.	
	CK	Kruger, P., "Barbarian at the Gates?", Communications International, pp. 46-48, Jan. 1996.	
	CL	Lai, "Synchronization of a Chaotic Optical System Using Control", SPIE Chaos in Communication, pp. 91-102, 1993.	
	CM	Martienssen, W., "Chaotic Cryptology", Annalen der Physik, Vol. 4, Issue 1, 1995, pp. 35-42.	
	CN	Non-final office action issued by Examiner James Seal on 2 April 2000, in the prosecution of U.S. Patent Application Serial No. 09/436,910, now issued as Patent Number 6,363,153 (Method and apparatus for secure digital chaotic communication).	
	CO	Non-final office action issued by Examiner Jeffrey W. Donels on 17 December 1999, in the prosecution of U.S. Patent Application Serial No. 09/437,565, now issued as U.S. Patent Number 6,137,045 (Method and apparatus for chaotic musical synthesis).	
	CP	Ott, E. et al., "Controlling Chaos", Physical Review Letters, Vol. 64, No. 11, pp. 1196-1199, 12 Mar. 1990.	
	CQ	Pecora et al., "Synchronization in Chaotic Systems", Physical Review Letters, Vol. 64, No. 8, pp. 821-824, 19 Feb. 1990.###(ISR incorrectly cites No. 10, pp. 2374-2383)	
	CR	Rossler, O. E., "An Equation for Continuous Chaos", Physics Letters A, Vol. 57, No. 5, pp. 397-398, 12 Jul. 1976.	
	CS	Shilnikov, "Mathematical Problems of Nonlinear Dynamics: A Tutorial", International Journal of Bifurcation and Chaos, Vol. 7, No. 9, pp. 1953-2001, 1997.	
	CT	Short, K., "Steps Towards Unmasking Secure Communications," International Journal of Bifurcation and Chaos, vol. 4, No. 4, 1994, pp. 959-977.	
	CU	Yang et. al., "Secure Communication via Chaotic Parameter Modulation", IEEE Transactions on Circuits and System 817-819, 1996.	
	CV	Yang, T. et al., "Cryptanalyzing Chaotic Secure Communications Using Return Map", Physics Letters A, Vol.245, No.6, pp. 495-510, 31 Aug. 1998.###(ISR citation was incorrect and	
Examiner Signature		Date Considered	

PTO/SB/08a/b (08-03)

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				Filing Date	January 9, 2001
				First Named Inventor	Kevin M. Short
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	3	of	3	Attorney Docket Number	UON-P01-004

		incomplete: No vol. no., no date, incorrect pp.)	
	CW	Yang, Tao, "A Survey of Chaotic Secure Communication Systems", International Journal of Computational Cognition, Vol. 2, No. 2, pp. 81-130, June 2004. (http://www.YangSky.com/yangijcc.htm)	
	CX	Zhou, C., "Extracting Information Masked by Chaos and Contaminated with Noise: Some Considerations on Security of Communication Approaches Using Chaos", Physics Letters A, Vol. 234, No. 6, pp. 429-435, 13 Oct. 1997.	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English language Translation is attached.

Examiner Signature		Date Considered	
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